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**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**  
**REGIONAL MISSION FOR THE CENTRAL ASIAN REPUBLICS**  
KAZAKHSTAN, KYRGYZSTAN, TAJIKISTAN, TURKMENISTAN, & UZBEKISTAN

**Acquisition & Assistance Office**



Issuance Date: March 14, 2003  
Closing Date: April 11, 2003  
Closing Time: 5:00 PM Almaty time

Subject: Request for Applications (RFA) Number DM122-03-013  
USAID/CAR Combating Human Trafficking

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for USAID/CAR Combating Human Trafficking. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective to USAID/CAR Combating Human Trafficking. Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

Subject to the availability of funds, USAID intends to provide approximately \$1,900,000.00 in total USAID funding to be allocated over the 2 year period. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

(By U.S. Mail)  
John F. Lord  
USAID/DOS  
7030 Almaty Place  
Washington, DC 20521-7030

(By All Other Means of Delivery)  
John F. Lord  
USAID/CAR  
Park Palace Building  
41 Kazybek bi Street  
Almaty, Republic of Kazakhstan

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.usaid.gov>. Select Business and Procurement from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". Receipt of this RFA through INTERNET must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Format;
- (c) the Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to John F. Lord, via facsimile at 7-3272-507635 or via internet at [AlmatyCO@usaid.gov](mailto:AlmatyCO@usaid.gov). If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

John F. Lord  
Agreement Officer  
USAID/CAR Regional Mission

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## **SECTION A - GRANT APPLICATION FORMAT**

### **PREPARATION GUIDELINES**

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in an original and 5 copies and cost portions of applications in an original and 5 copies.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 3 of the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section II.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

### **COST APPLICATION FORMAT**

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for an Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. A copy of the program description that was detailed in the applicants program description, on a 3-1/2" diskette, formatted in Word97.

B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/);

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

- the breakdown of all costs according to each partner organization involved in the program;

- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;

- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;

- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;

- your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).

C. A current Negotiated Indirect Cost Rate Agreement;

D. Required certifications and representations (as attached):

E. Cost share has been recommended to be 15% of the total estimated amount.

F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;

2. projected budget, cash flow and organizational chart;

3. A copy of the organization's accounting manual.

G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.

3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.

4. Has a satisfactory record of integrity and business ethics; and

5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

H. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

I. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

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J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

### **L. Submission of Applications:**

1. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.

2. Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

### **M. Preparation of Applications:**

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets ; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

### **O. Grant Award:**

1. The Government may award one or more Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see

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Section B, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

2. The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

P. Authority to Obligate the Government - The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.

Q. The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.



## SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

### I. Mandatory Criteria

Applications must satisfy this criterion to be eligible (e.g. responsible) for further consideration.

1. This includes but is not limited to the criteria that applicants must be a U.S. Non-Government Organization (NGO) or other type of legal entity accredited or able to obtain accreditation to operate in CAR.
2. Cost Sharing, Matching Arrangement and/or In-Kind Contribution of at least 15% of the USAID amount.

“Cost-sharing” means the application presents cash from non-US Federal sources which the offeror will use in the performance of the award. “Matching-Arrangement” means the application presents cash from non-US Federal sources which will be provided at a set ratio (e.g. for every 2 dollars USAID obligates the recipient will provide 1 dollar.) “In-Kind Contribution” means the donation of tangible property (such as computers, medical and lab equipment, but excluding real) or services (such as rent, utilities, etc.) provided by the recipient to the Government.

### II. Weighted Criteria

Applications received in response to this request for applications will be evaluated against the following selection criteria:

#### A. Technical MAXIMUM 100 POINTS

1. **Technical Approach:** The creativity, innovation and feasibility of the proposed technical approach along with the proposed monitoring and evaluation mechanism (i.e., can the proposed technical approach reasonably be expected to produce the intended outcomes?) Appropriateness of the applicant's plan to incorporate gender issues into the overall activity (40 points)
2. **Technical Capacity:** The demonstrated technical ability of the organization will be assessed through an organization's mission statement, technical expertise, past technical performance, strategic objectives, available resources, and operational management (30 points)
3. **Past Performance and Relevant Experience:** Successful experience is designing and implementing effective counter-trafficking programs, particularly in the former Soviet Union. (15 points)
4. **Key Personnel:** The qualifications of key personnel will be an important factor impacting the project's chances of success. Key personnel's technical background, work experience, language and area knowledge will be assessed against the needs of the project. (15 points)

**B. Cost**

**MAXIMUM 20 POINTS**

- 1. Cost Effectiveness:** The cost-effectiveness of the organization's approach and its ability to make a positive measurable impact on a wide base of beneficiaries. Applicants must present a detailed budget including all sources of funds allocated and a detailed description of each budget line item requested. Demonstrated ability to leverage other donor resources: NGOs and development partners should demonstrate their willingness/ability to identify private, unrestricted resources for basic support costs. Such funding may come from many sources including privately generated programming funds from domestic constituencies; commodities or other resources made available by other non U.S. Government sources; Definite commitments from other sources for specific programs should be specifically mentioned and documented. (20 points)

## SECTION C - PROGRAM DESCRIPTION

### Combating Human Trafficking in Central Asia

#### I. Introduction

The United States Agency for International Development Central Asia Regional Mission (“USAID/CAR”) requests applications from qualified applicants to implement a program aimed at combating human trafficking in Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan. USAID/CAR anticipates awarding a two-year cooperative agreement resulting from this request for applications (“RFA”).

#### II. Purpose

Work performed under this award will contribute to the achievement of USAID/CAR’s Strategic Objective 2.1., “Strengthened Democratic Culture Among Citizens and Targeted Institutions” as outlined in the USAID/CAR Assistance Strategy for Central Asia 2001-2005.<sup>1</sup> The primary objective of this activity is to educate the public on the dangers of human trafficking, assist in developing appropriate legislation to combat human trafficking and provide protection services to trafficked victims through a combination of information dissemination, technical assistance and training.

#### III. Background

The UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, which supplements the UN Convention against Transnational Organized Crime, defines “trafficking in persons” as:

“the recruitment, transportation, transfer, harboring or receipt of persons, by means of the threat of use of force, or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Exploitation shall include as a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labor or service, slavery or practices similar to slavery, servitude or the removal of organs.”

Trafficking in persons is truly a global problem that takes on many forms, ranging from forced prostitution to indentured servitude. Women and men of all ages and backgrounds can be lured into trafficking. Human trafficking is usually an underground phenomenon with links to organized crime. Generally, trafficking in persons is a low-risk, high-gain activity for criminal syndicates because many countries lack adequate legal and social structures to punish offenders and protect victims.

Due to the hidden nature of human trafficking, it is quite difficult to obtain concrete data on the number of victims worldwide. However, according to USG statistics, at least 700,000 men, women and children are trafficked each year across international borders.<sup>2</sup> Moreover, according to the U.S. CIA briefing report, “*Global Trafficking in Women and Children: Assessing the Magnitude*”, trafficking from the former Soviet Union makes up approximately one-quarter of all global human trafficking.

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<sup>1</sup> USAID/CAR’s strategy can be found at [www.usaid.gov/regions/europe\\_eurasia/car](http://www.usaid.gov/regions/europe_eurasia/car)

<sup>2</sup> U.S. Department of State Trafficking in Persons Report (June 2002) – Based on 1997 data

To show its commitment to tackling this serious problem, the United States Government passed the Trafficking Victims Protection Act (the “Act”) in October 2000. The Act embodies the U.S. anti-trafficking framework of: (1) *prevention* of trafficking through education, public awareness and economic alternatives; (2) *prosecution* of traffickers; and (3) *protection* for victims.

Also, the Act authorized the Department of State to establish the Office to Monitor and Combat Trafficking in Persons (“TIP Office”) in October 2001. This office prepares a yearly report on the status of severe forms<sup>3</sup> of trafficking in persons worldwide, which the Act requires. The Act also mandates that this report place countries within three tiers. Countries whose governments fully comply with the Act’s minimum standards<sup>4</sup> are placed in Tier 1. Countries placed in Tier 2 are viewed as not yet fully complying with the Act’s minimum standards but are making significant efforts to bring themselves into compliance. Countries placed in Tier 3 are viewed as not complying with the minimum standards and are not making significant efforts to comply.

According to the Act, beginning with the 2003 report, countries in Tier 3 will be subject to certain sanctions, principally termination of non-humanitarian, non-trade related assistance. In the 2002 TIP report, Tajikistan and Kyrgyzstan were listed as Tier 3 countries. Kazakhstan was listed as a Tier 2 country. Uzbekistan was not included in the 2002 report due to the lack of credible information on the trafficking situation in that country.

#### **IV. Human Trafficking in Central Asia**

Trafficking in persons is a relatively new phenomenon in Central Asia. Adult trafficking victims in Central Asia differ from those in other developing countries in the world. One specific difference is that trafficked individuals from Central Asia usually have a high school degree or at the very least, some secondary education. These individuals are looking for economic opportunities and different lifestyles abroad. Another particularity about human trafficking in Central Asia is that many victims are either lured or sold into slavery by acquaintances or family members.

As in other countries, women and children in Central Asian countries are disproportionately affected by human trafficking. There are numerous reasons why recruiters often view women as easy prey. First, throughout Central Asia, women’s status in society declined after the collapse of the Soviet Union. Moreover, cultural norms emphasize traditional or subservient roles for women.

Because women are often the targets of traffickers, sex trafficking is an issue of growing concern within Central Asia. The highest risk groups appear to be young women between the ages of 12 and 25 years old. Most trafficked women are heads of households, or primary wage earners for a family. Although some women are trafficked into domestic servitude, there is a lot of anecdotal evidence that women from Central Asia end up in the sex industry in places such as the United Arab Emirates, Cyprus, Turkey, South Korea and Thailand.

The same reasons given for why women are considered easy prey for traffickers are also applicable to children. Dire economic conditions or abusive parents force children to leave their homes. Once children

<sup>3</sup> The Act defines “severe form of trafficking in persons” as: (a) sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age; or (b) the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.”

<sup>4</sup> The Act defines “minimum standards for the elimination of trafficking” as: (1) the government should prohibit trafficking and punish acts of trafficking; (2) the government should prescribe punishment commensurate with that for grave crimes; and (3) the government should make serious and sustained efforts to eliminate trafficking.

are out on the streets, they become very vulnerable to recruiters' ploys. Over the past couple of years, the demand for child prostitutes has grown due to concerns about sexually transmitted diseases (especially HIV/AIDS). Therefore, young Central Asian girls and boys are becoming more of a target for traffickers.

While the bulk of human trafficking in Central Asia involves women and children, men are also trafficked from and within Central Asia. Most trafficked men are labor migrants who are forced to work in exploitative and dangerous work conditions in construction or agriculture. A small percentage of men are trafficked as male prostitutes. Boys are targeted for use as camel jockeys in the Middle East or for child pornography in Western Europe.

There are many factors driving trafficking. Economic dislocation, corruption and disenfranchisement are the most pronounced internal factors that contribute to this growing phenomenon in Central Asia:

- 1) **Economic Dislocation:** High levels of poverty plague Central Asian nations, especially Tajikistan and Kyrgyzstan. There is a widening gap between the economic classes. A very small elite group holds most of the wealth in each country in the region. The lack of viable economic opportunities domestically is a main factor for why people seek jobs abroad, thus falling prey to traffickers.
- 2) **Corruption:** Corruption is a problem that affects every element of society in Central Asia. The rampant corruption throughout the region allows traffickers to maintain their business of enslaving people without any fear of repercussions. In order for traffickers to successfully transit people out of a country or through a country, they need the support and protection of corrupt officials. Moreover, corruption hampers prosecution efforts since victims often believe that the traffickers can buy justice by bribing police officers, prosecutors and judges.
- 3) **Disenfranchisement:** The Soviet Union's collapse has not yet produced the economic, political, and social opportunities that many predicted. On the contrary, Central Asians must deal with declining living conditions, increasing social problems such as domestic violence and drug abuse, and escalating human and civil rights violations. Moreover, rampant corruption and absence of the rule of law contribute to the disenfranchisement of Central Asians. All of these factors may lead individuals to become desperate to escape conditions in their countries at any cost, thereby making them vulnerable to human traffickers.

## V. USAID/CAR's Efforts to Combat Human Trafficking

USAID/CAR's support for anti-trafficking programs dates back to 2000. In 2000, USAID/CAR's Democracy and Media ("DM") office identified women's legal rights as a program priority area. Additionally, under USAID/CAR's program strategy (2000-2005), gender became an important cross-cutting objective. Therefore, in November 2000, DM approved IOM Kyrgyzstan's unsolicited proposal for a human trafficking awareness program. The objective of this activity was to raise awareness of the dangerous and inhumane conditions faced by trafficked individuals. Specifically, this program disseminated the findings of the IOM/OSCE report on trafficking of women and children, introduced the definition of "trafficking" and international instruments to combat human trafficking, provided program recommendations to assist trafficking victims, and developed the Kyrgyzstan national plan of action for fighting trafficking.

In early 2001, DM received an unsolicited proposal from IOM Kazakhstan to carry out a national anti-trafficking information campaign. DM funded this request at a level of \$100,000 using funds from the Global Bureau's Women in Development office. This project sought to increase the public's understanding of the trafficking risks and ploys by conducting a nationwide campaign that included the dissemination of

leaflets, posters, articles and press releases, operation of hotlines and information training for NGOs and government officials. Additional funding went to Internews to expose journalists to the human trafficking problem in Kazakhstan and to develop anti-trafficking public service announcements<sup>5</sup>.

In 2002, DM provided follow-up funding to IOM Kyrgyzstan and IOM Kazakhstan for their awareness raising campaigns. These programs continue to educate the public on trafficking issues by hosting discussion tours, disseminating pamphlets and posters, airing radio and television public service announcements, and operating information hotlines. In Kazakhstan, the follow-up funding allowed IOM Kazakhstan to operate hotlines in all oblasts in Kazakhstan as well as establish a hotline in Tashkent, Uzbekistan. In Kyrgyzstan, the follow-up funding allowed IOM Kyrgyzstan to expand to the south of Kyrgyzstan. IOM Kyrgyzstan identified an NGO partner in Osh to carry out its information campaign as well as operate an information hotline. The Kyrgyzstan program concludes in May 2003 and the Kazakhstan program runs until September 2003.<sup>6</sup>

## **VI. Program Activities**

While this is a regional program, the specific activities in each country are slightly different in order to address the particular human trafficking issues in that country. Overall, the program activities are broken down into three categories: (1) prevention; (2) legislation and implementation of laws; and (3) protection. The general guidelines for these categories are as follows:

### **PREVENTION**

Prevention activities, which could include but are not limited to public information campaigns or empowerment programs, should target at-risk groups. At-risk groups include but are not limited to: (1) young people, between the ages of 13-25; (2) girls/young women; (3) labor migrants; (4) street children; (5) refugees; (6) commercial sex workers; and (7) unemployed individuals.

Prevention activities should build the capacity of local actors, especially non-governmental organizations (“NGOs”) and community based organizations (“CBOs”). These local organizations can conduct a variety of prevention activities. The prevention activities should result in broader civil society participation in raising awareness and sensitivity to trafficking in persons, monitoring of governments’ efforts to combat trafficking and advocating on behalf of trafficking victims. Awareness and prevention efforts also should build on work already done to educate the public on the risks and dangers associated with human trafficking.

### **LEGISLATION AND IMPLEMENTATION OF LAWS**

A sound legal and policy infrastructure is a vital element for effective anti-trafficking efforts. Currently, several Central Asian countries are reviewing their anti-trafficking draft laws and there is a possibility that a trafficking in persons law will be passed in one of these countries before the commencement of this project. Under this scenario, the implementer would be expected to assist in ensuring that the law adequately punishes traffickers and protects victims. Where there is not yet a trafficking in persons law, the implementer should focus on supporting the development and passage of such legislation.

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<sup>5</sup> The Internews portion of the program was delayed due to lack of equipment. Therefore, the PSAs will be produced during the second phase of IOM Kazakhstan’s program (which is currently underway).

<sup>6</sup> IOM Kazakhstan and IOM Kyrgyzstan’s first year final reports can be found on USAID/CAR’s website<[www.usaid.gov/regions/europe\\_eurasia/car](http://www.usaid.gov/regions/europe_eurasia/car)>

Training for prosecutors, police officers, border guards, custom officials, judges and other actors on domestic and international legislation as well as treatment of victims could be included into the program where there is a need. Such training efforts should make use of materials already created, either regionally or internationally, using facts and case studies relevant to Central Asia. Any legal reform activities should collaborate with prosecution related projects conducted by U.S. Department of State's Bureau for International Narcotics and Law Enforcement Affairs ("INL") and U.S. Department of Justice ("DOJ").

## **PROTECTION**

One particular challenge throughout the region is to identify victims because they are usually too traumatized, scared or embarrassed to come forward. Another obstacle in providing protection to victims is finding ways to work with organizations in destination countries in order to assist trafficked persons from Central Asia.

Hotlines in Central Asia seem to be effective in preventing human trafficking but these hotlines are not attracting many victims yet. Information from other countries reveals that victims are more likely to identify themselves if there are services available to them. Prior to any protection activities being developed and implemented, implementers should consult with actual victims and/or victim service centers in country in order to create appropriate and effective victim assistance activities. It is critical to provide victims with real choices and services, with a particular emphasis on health care and legal advice. It is also important that the victim have access to a safe haven where they can evaluate their choices.

### **A. KAZAKHSTAN**

The total estimated amount available for Kazakhstan is \$400,000, subject to the availability of funds (\$200,000 is available for Year 1 and \$200,000 is available for Year 2). Since the grant that USAID/CAR currently funds to combat human trafficking in Kazakhstan concludes o/a September 17, 2003, this new activity should commence o/a October 1, 2003. The Kazakhstan program will run from October 2003 until o/a June 2005 (making it a 20 month activity)

Kazakhstan is a source, transit and destination country. There is also anecdotal evidence of internal human trafficking within Kazakhstan. In the June 2002 Trafficking in Persons report, the Kazakhstani government ranked in Tier 2, up from Tier 3 in 2001. The government of Kazakhstan declared trafficking in persons a problem in 2000. As evidence of its commitment to combating human trafficking, Kazakhstan signed the UN Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children. Moreover, the Kazakhstani government established an inter-ministerial counter-trafficking working group, which is tasked with drafting trafficking in persons legislation.

To assist Kazakhstan with its efforts to combat human trafficking, program activities for Kazakhstan focus on two categories: (1) legislation and implementation of laws; and (2) prevention and education. Given the limited amount of funding available for activities in Kazakhstan, USAID/CAR recognizes that an implementer will not be able to conduct all of the activities described below. However, USAID/CAR expects applications to include activities aimed at trafficking legislation and implementation of trafficking laws as well as prevention activities. Also, applicants are not limited to activities described below. The activities described below are merely examples and applicants are free to propose alternatives. Applicants should discuss which activities they plan to carry out and give a time line for conducting these activities. Additionally, applicants should include a justification why these activities are vital in the fight to end human trafficking.

### *(1) Legislation and Implementation of Laws*

While it appears that Kazakhstan is serious about fighting human trafficking, the Kazakhstani government needs to jump-start its legislative drafting process. Over the past several years, the working group produced numerous versions of the law. Each version lacked clarity and real enforcement power. Moreover, the inter-ministerial working group was scheduled to propose new legislation by December 2002. This new legislation should be based on the working group and Parliament's recommendations given in March 2002. Unfortunately, as of mid-February 2003, new legislation to combat trafficking has not been passed.

Thus, in order to rejuvenate the stalled legislative drafting process, program activities in Kazakhstan could include: (1) drafting, adopting and/or amending trafficking legislation; (2) advocating for the adoption and ratification of international trafficking in persons conventions and protocols; (3) evaluating existing legal framework and institutional mechanisms to combat trafficking and making recommendations to improve these mechanisms; (4) assisting in the development of a national plan to combat trafficking in persons; (5) familiarizing prosecutors, law enforcement officers and judges with human trafficking issues and problems; (6) assisting in the development of witness protection measures; (7) encouraging NGO networks to monitor the Kazakhstani government's efforts to combat human trafficking; (8) monitoring and reporting on human trafficking cases; or (9) building relationships and referral networks between NGOs and law enforcement officers.

### *(2) Prevention*

In addition to legislative reform, this project will include public awareness and education activities aimed at preventing human trafficking. Overall, prevention activities should: (1) build on work already done to raise awareness of the risks and dangers of human trafficking; (2) recognize trafficking in persons as a crime; and (3) change attitudes about trafficking.

Whereas USAID/CAR's current prevention activities take place throughout Kazakhstan, this program should focus its activities to targeted areas where there are known trafficking victims, recruiters, transporters, and/or employers. Applicants should focus on two to four key cities or oblasts. Selection of these target cities will be made upon consultation with, and prior approval by USAID/CAR. The implementer will analyze the environment and opportunities for prevention activities in proposed cities or oblasts and submit a needs assessment report to USAID/CAR by November 1, 2003.

Factors for selecting target areas include:

- Anecdotal evidence of trafficking problem or likelihood for trafficking problem;
- Vulnerable population (unemployed individuals, street children, commercial sex workers, etc.)
- Local government's willingness to recognize and combat human trafficking;
- Co-location with other USAID and international donors' programs;
- Identification of local partner(s);
- Strength and capacity of local NGOs and CBOs; and
- Capacity of law enforcement officers and prosecutors.

Prevention activities could include but are not limited to: (1) operating hotlines; (2) sponsoring trafficking awareness events at schools and universities; (3) conducting town meetings or roundtables; (4) developing and broadcasting television PSAs; (5) hosting call-in radio or television programs; (6) disseminating brochures and posters; (7) distributing paraphernalia, such as notebooks, pens or bags, with anti-trafficking messages; (8) conducting training seminars for specific target audiences; (9) setting up a system to help



track trafficking patterns and routes; or (10) carrying out empowerment programs.

These prevention activities are aimed at vulnerable groups such as young people, rural residents, refugees and displaced persons, battered women, and unemployed individuals. All materials should be made available in Russian and Kazakh.

## **B. KYRGYZSTAN**

The total estimated amount available for Kyrgyzstan \$450,000, subject to the availability of funds. The budget breakdown is \$200,000 for year 1, and \$250,000 year 2.

Kyrgyzstan is a country of origin and transit for human trafficking and to a lesser degree a country of destination. In 2001, Kyrgyzstan placed in Tier 2 of the Trafficking in Persons reports. In the 2002 report, Kyrgyzstan fell to Tier 3. Since Kyrgyzstan is listed as a Tier 3 country and is in jeopardy of sanctions if it does not move up to Tier 2 this year, the Kyrgyzstan government placed a high priority on trafficking in persons in 2002.

To demonstrate its commitment to combating human trafficking, President Akaev issued a decree in April 2002 establishing a national council for combating trafficking. This council is tasked with analyzing the trafficking situation in Kyrgyzstan, informing the public, organizing educational activities, designing preventive measures, cooperating in developing counter-trafficking legislation, working on effective law-enforcement approaches to human trafficking, improving travel documents and taking measures to protect and assist victims.

Based on the national council's recommendations, Kyrgyz ministries and authorities took concrete steps to fight human trafficking. For instance, the General Prosecutor's office is implementing a counter-trafficking training program for prosecutors. Also, the Ministry of Education and Culture introduced the topic of trafficking in persons into the courses "Safety of Life" and "We and the Law". The State Television and Radio Company continuously broadcasts trafficking awareness programs and IOM-produced PSAs.

In addition to the national council, there is a legal expert group working on counter-trafficking legislation. This expert group consists of representatives from the Ministry of Foreign Affairs, Department of Migration Services, Ministry of Justice, Office of General Public Prosecutors and two independent legal experts. This expert group is working on amending provisions in the Kyrgyz Criminal Code that relate to trafficking offenses.

Since there is a lot of work currently underway in Kyrgyzstan that relates to legislation and implementation of laws, program activities for Kyrgyzstan under this RFA focus on prevention of human trafficking and protection of trafficking victims. Given the limited amount of funding available for activities in Kyrgyzstan, USAID/CAR recognizes that an implementer will not be able to conduct all of the activities described below. However, USAID/CAR expects applications to include activities aimed at preventing trafficking and providing protection and assistance to trafficking victims. Also, applicants are not limited to activities described below. The activities described below are examples and applicants are free to propose alternatives. Applicants should discuss which activities they plan to carry out within the two years. Additionally, applicants should include a justification why these activities are vital in the fight to end human trafficking.

### *(1) Prevention*

Since USAID/CAR's current anti-trafficking program is focused primarily on Bishkek and Osh, this new activity should expand prevention related activities into two to four additional cities in Kyrgyzstan. Selection of these additional target cities will be made upon consultation with, and prior approval by USAID/CAR. The implementer will analyze the environment and opportunities for prevention activities in proposed cities or oblasts and submit a needs assessment report to USAID/CAR within forty five days of the commencement of the project. Applicants are encouraged to consider conducting prevention activities in rural areas and in Southern Kyrgyzstan.

Factors for selecting target areas include:

- Anecdotal evidence of trafficking problem or likelihood for trafficking problem;
- Vulnerable population (unemployed individuals, street children, commercial sex workers, etc.)
- Local government's willingness to recognize and combat human trafficking;
- Co-location with other USAID and international donors programs;
- Identification of local partner(s);
- Strength and capacity of local NGOs and CBOs; and
- Capacity of law enforcement officers and prosecutors.

Specific project activities could include but are not limited to: (1) broadcasting counter-trafficking PSAs and/or documentaries; (2) hosting television and radio call-in programs; (3) disseminating brochures and posters; (4) conducting awareness raising seminars, trainings and/or roundtables; (5) producing newspaper articles on the dangers of human trafficking; (6) creating information kiosks at airports, railroad stations and bus terminals; (7) designing trafficking awareness courses for schools and universities; (8) sponsoring cultural or social events such as human trafficking awareness days; (9) mapping exercises to track trafficking in high risk areas; or (10) carrying out empowerment programs for target populations.

Furthermore, prevention activities should be geared towards specific vulnerable groups such as unemployed women, young people, refugees, internal migrants, battered women and commercial sex workers. All materials should be available in Russian, Kyrgyz and Uzbek.

## *(2) Protection*

The program in Kyrgyzstan should also include efforts to provide protection to trafficking victims. Assistance could include but is not limited to: (1) providing pro-bono legal assistance to victims; (2) conducting training for local crisis centers on how to provide the necessary psychological services and counseling; (3) assisting in the development of NGO referral networks to help return victims to their home country; or (4) developing a referral database for crisis centers, women's NGOs, and law enforcement agencies that contains contact information for individuals and/or organizations with expertise in women's human rights, migrant rights, labor rights and counter trafficking.

## **C. TAJIKISTAN**

The total estimated amount available for Tajikistan is \$350,000, subject to the availability of funds. The budget breakdown is \$150,000 for the first year and \$200,000 for the second year.

Tajikistan is a country of origin for men, women, and children trafficked to other Central Asian countries as well as Persian Gulf countries. Men are mainly trafficked for forced labor, and women and young girls are primarily trafficked for commercial sex purposes. Tajikistan first appeared on the Trafficking in Persons report in 2002 where it was listed as a Tier 3 country. Since being placed on Tier 3, the Tajik Government placed a high priority on combating trafficking in persons.

For example, Tajikistan is the only Central Asian country to adopt and ratify the UN Convention Against Transnational Organized Crime with its Protocol to Prevent, Suppress, and Punish Trafficking in Persons. Another example of the Tajik Government's commitment to combating trafficking is President Rakhmonov's public denouncement of trafficking on November 30, 2002. In a meeting with senior law enforcement officials, Rakhmonov urged law enforcement agencies to step up efforts to prevent human trafficking. Furthermore, he recommended that Parliament draft appropriate legislation to combat trafficking in persons.

Given the modest funding available for Tajikistan, program activities will focus solely on prevention efforts aimed at educating labor migrants and raising awareness trafficking dangers among Tajik society. Therefore, applicants should discuss two separate prevention approaches; one focusing on forced migrant labor and the other one focusing on sexual exploitation. Proposed activities should be relevant for the intended audience.

Prevention activities should raise the public's awareness of trafficking dangers and educate the public on their rights when working abroad. Activities may include but are not limited to: (1) disseminating informational brochures at target sites (clinics, NGOs, schools, etc.); (2) airing public service announcements on television and radio; (3) educating journalists on trafficking issues and publishing news articles on human trafficking; (4) conducting informational training for mahallahs, local government officials, law enforcement officers, journalists, medical professionals, and legal professionals; (5) creating information kiosks at border posts, airports, bus terminals, and railroad stations; (6) hosting trafficking awareness days at schools and universities; (7) operating information hotlines; (8) designing and distributing anti-trafficking posters; (9) creating counter trafficking courses for schools; or (10) carrying out empowerment programs for target populations. All materials should be in Russian and Tajik.

#### **D. UZBEKISTAN**

The total estimated amount available for Uzbekistan is \$600,000, subject to the availability of funding. The budget breakdown is \$300,000 for each year of the program.

Uzbekistan was not included on the 2001 or 2002 TIP reports because there was not credible data on trafficking in persons. While there is not comprehensive data on the scale of the problem, there is a lot of anecdotal evidence of trafficking in Uzbekistan. This evidence reveals that Uzbekistan appears to be primarily a source country for traffickers and perhaps a transit country as well.

Over the past year, the Uzbekistan Government acknowledged trafficking in persons as an important issue plaguing the country and recognized the need to fully understand the magnitude of this problem. Therefore, given the particular needs of Uzbekistan, the first year of this activity will focus on conducting research on human trafficking and implementing prevention activities.

##### *(1) Research*

In order to properly address the problem of human trafficking in Uzbekistan, this project will include an extensive assessment of the trafficking problem in Uzbekistan. Applicants should discuss in detail how they plan to conduct this assessment (e.g. who will be interviewed and what methods will be used to obtain information on human trafficking). The results of the assessment along with program recommendations should be presented in a final report to USAID/CAR at the end of the first year of this project. Based on research results and the proposed program recommendations, additional program activities will be designed

for the second year of the program.

*(2) Prevention*

Since there are known cases of human trafficking in Uzbekistan, the program will also seek to prevent trafficking in persons by exposing Uzbekistan's citizens to the perils of human trafficking by: (1) operating informational hotlines; (2) conducting educational seminars for targeted audiences; (3) using mahallahs to distribute anti-trafficking literature; (4) broadcasting trafficking documentaries and PSAs; (5) conducting town meetings or roundtables to highlight the perils of human trafficking; (6) organizing school activities such as trafficking awareness day; (7) disseminating brochures on trafficking risks at clinics, schools, travel agencies, etc. or (8) displaying counter-trafficking posters at schools, colleges, bus stations, airports, railway stations, and taxi stands. These activities are just a sample of the types of prevention activities an implementer could conduct. Applicants are encouraged to think of different and unique approaches to preventing human trafficking. In Uzbekistan, young people are the main target of the prevention work. All program materials should be in Russian and Uzbek.

**E. REGIONAL**

The total estimated amount available for regional programming is \$100,000, subject to the availability of funds. The budget breakdown is \$50,000 for each year of the program.

There is a small amount of funds available for regional activities, which could include but are not limited to; (1) establishing a counter-trafficking NGO network within Central Asia that will focus on monitoring, advocacy and education; (2) hosting a regional conference on best practices (along with developing reference manuals for target groups); or (3) training consular officers from Central Asian countries on trafficking issues.

Since there is a limited amount of funding available for regional programming, USAID/CAR recognizes that an implementer will not be able to conduct a lot of regional activities. The overall goal of the regional funding is to build linkages among the Central Asian republics as they grapple with human trafficking. While each Central Asian country is different and the magnitude of trafficking in persons varies, there are a number of similarities among the countries. Specifically, there is need to change the perception of trafficking victims, increase the support and services available to victims, and prosecute traffickers in all of the countries.

Applicants are encouraged to propose regional activities that foster relationships between key TIP stakeholders throughout the region. Applicants should discuss which activity(ies) they plan to carry out and give a time line for conducting the activity(ies). Additionally, applicants should include a justification why the activity(ies) are vital in the fight to end human trafficking.

**VI. Coordination**

All applicants are encouraged to pursue a multi-donor approach in planning and undertaking the activities described in this RFA. The successful applicant should coordinate its activities closely with (1) other USAID/CAR funded programs including activities managed by the Democracy & Media, Health & Education and Enterprise & Finance offices; (2) other USG agencies including INL, DOJ, and Department of Labor; and (3) other international donor organizations supporting anti-trafficking initiatives Kazakhstan, Kyrgyzstan, Uzbekistan and Tajikistan.

Coordination includes, but is not limited to, sharing of materials developed under this task order, informing other development organizations of potential and planned activities, sharing information and, where appropriate, holding joint programs, and participating in coordination and strategy meetings.

## **VII. Staff Structure**

The staffing pattern should reflect the need for coordination of this anti-trafficking initiative at the regional level. At the very least, applicants should plan to include a regional director, who will be based in Almaty, Kazakhstan, where the central office of USAID/CAR is located. The regional director will be responsible for overall program coordination and management, will supervise country programs, and serve as the main contact point with USAID/CAR. A small regional staff will assist in overall program quality control, financial management, regional activities, and donor liaison issues. It is anticipated that the country-level offices will be staffed with local employees to the maximum extent practicable. Additionally, applicants may use local organizations (NGOs or CBOs) as a country office. Short-term trainers and other consultants, both regional and international, can provide additional expertise as needed.

## **VIII. Expected Results**

Work performed under this award will contribute to the achievement of Strategic Objective (“SO”) 2.1, as outlined in the USAID/CAR Assistance Strategy for Central Asia 2001-2005, *Strengthened Democratic Culture Among Citizens and Target Institutions*. This objective reflects USAID’s emphasis on building an active constituency for democracy. Also, this activity will serve to further the intermediate result (“IR”) I.R. 2.1.2- “*Increased availability of information on civic rights and domestic public issues.*” A lower level result (“LLR”) used by USAID/CAR to measure the increased availability of information on civic rights and domestic public issues is “improved awareness of legal rights”. As part of the application, applicants should develop tangible results-oriented indicators that measure progress towards the SO 2.1 and IR 2.1.2.

In addition, the end results of the activities funded under this RFA should include anti-trafficking legislation, sustainable human trafficking awareness training programs within various government structures, and an informed citizenry about the dangers of human trafficking. Furthermore, existing networks or coalitions of NGOs working on human trafficking issues should be strengthened to coordinate regional efforts, exchange information, share materials advocate on behalf of trafficking victims, and monitor government efforts to combat human trafficking.

## **IX. Parameters for Applications**

Recognizing that various approaches may have merit, this RFA seeks an implementing partner that, on the basis of its experience, can propose cost-effective ways of preventing human trafficking, assisting in drafting anti-trafficking legislation and improving the protective services offered to trafficked victims. Applications should cover activities in Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan. Applicants are asked to provide a proposal with an executive summary that outlines the approaches taken to address the human trafficking needs and issues for each Central Asian country. Applicants must submit a program description for *each* country. Applicants are also requested to present a budget, broken down by country, that is results-based, includes costs covered by other entities (cost-sharing arrangements or matching funds), and links costs to projected impact. Proposals should not be longer than forty (40) pages. Cost sharing is encouraged. The proposed life of the assistance program described herein is twenty-four months, to begin on or about June 1, 2003 (with the Kazakhstan portion of the program to begin o/a October 1, 2003).

## SECTION D

### U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

#### CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]

## PART I - CERTIFICATIONS AND ASSURANCES

### 1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

### 2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

**DM122-03-013**

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is



debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions**

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**4. CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

**PART II - OTHER STATEMENTS OF RECIPIENT****1. AUTHORIZED INDIVIDUALS**

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

| Name | Title | Telephone No. | Facsimile No. |
|------|-------|---------------|---------------|
|      |       |               |               |
|      |       |               |               |
|      |       |               |               |

**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: \_\_\_\_\_

**3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: \_\_\_\_\_

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: \_\_\_\_\_

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$\_\_\_\_\_

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

| TYPE/DESCRIPTION(Generic) | QUANTITY | ESTIMATED UNIT COST |
|---------------------------|----------|---------------------|
|---------------------------|----------|---------------------|

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

| TYPE/DESCRIPTION | QUANTITY | ESTIMATED | GOODS      | PROBABLE | GOODS      |
|------------------|----------|-----------|------------|----------|------------|
| PROBABLE         |          |           |            |          |            |
| (Generic)        |          | UNIT COST | COMPONENTS | SOURCE   | COMPONENTS |
| ORIGIN           |          |           |            |          |            |

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

| TYPE/DESCRIPTION<br>(Generic) | QUANTITY | ESTIMATED<br>UNIT COST | PROBABLE<br>SOURCE | PROBABLE<br>ORIGIN | INTENDED USE |
|-------------------------------|----------|------------------------|--------------------|--------------------|--------------|
|-------------------------------|----------|------------------------|--------------------|--------------------|--------------|

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

| TYPE/DESCRIPTION<br>(Generic) | QUANTITY | ESTIMATED<br>UNIT COST | PROBABLE<br>SLUPPIER<br>(Non-US Only) | NATIONALITY<br>for<br>NON-US |
|-------------------------------|----------|------------------------|---------------------------------------|------------------------------|
|-------------------------------|----------|------------------------|---------------------------------------|------------------------------|

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

| TYPE/DESCRIPTION(Generic)<br>DISPOSITION | QUANTITY | ESTIMATED UNIT COST | PROPOSED |
|--|----------|---------------------|----------|
|--|----------|---------------------|----------|

## 6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

## 7. TYPE OF ORGANIZATION

**DM122-03-013**

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of \_\_\_\_\_ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

**8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS**

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND  
VOLUNTARY EXCLUSION      LOWER TIER COVERED TRANSACTIONS**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions



(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES  
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

## **PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

### **NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex 1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

## **CERTIFICATION REGARDING TERRORIST FINANCING**

“As a condition of entering into the referenced agreement, [name of organization] hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. § 1182). [Name of organization] further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B)(iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.”